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STATEMENT UNDER 37 CFR 3.73(b)

Applicant/Patent Owner: The Rockefeller University

Application No./Patent No.: 09/802,755 Filed/Issue Date: March 9, 2001

Entitled: A Crystal of Bacterial Core RNA Polymerase with Rifampicin and Methods of Use Thereof

The Rockefeller University, a university
(Name of Assignee) (Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

- 1. ☒ the assignee of the entire right, title, and interest; or
- 2. ☐ an assignee of an undivided part interest

in the patent application/patent identified above by virtue of either:

A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the Patent and Trademark Office at Reel 012017, Frame 0941, or for which a copy thereof is attached.

OR

B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

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☐ Additional documents in the chain of title are listed on a supplemental sheet.

☒ Copies of assignments or other documents in the chain of title are attached.

[NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.8]

The undersigned (whose title is supplied below) is empowered to sign this statement on behalf of the assignee.

5 Feb 2002
Date

Kathleen A. Denis
Signature

KATHLEEN A. DENIS, Ph.D
DIRECTOR OF TECHNOLOGY TRANSFER
For The Rockefeller University
Title

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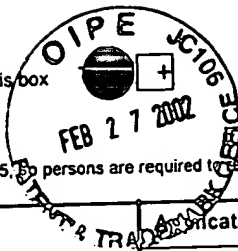
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REVOCATION OF POWER OF ATTORNEY OR AUTHORIZATION OF AGENT

Application Number	09/802,755
Filing Date	March 9, 2001
First Named Inventor	Darst et al.
Group Art Unit	1641
Examiner Name	
Attorney Docket Number	IPT-012.01 (form PTO/SB/82-1-001)

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I hereby revoke all previous powers of attorney or authorizations of agent given in the above-identified application:

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OR

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Individual Name

Address

Address

City

Country

State

ZIP

Telephone

Fax

I am the:

☐ Applicant/Inventor.

☒ Assignee of record of the entire interest. See 37 CFR 3.71.

☐ Assignee of record of an undivided partial interest. See 37 CFR 3.71.
Certificate under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96)

SIGNATURE of Applicant or Assignee of Record

Name

For, The Rockefeller University: KATHLEEN A. DENIS, Ph.D.
—DIRECTOR OF TECHNOLOGY TRANSFER

Signature

Kathleen A. Denis

Date

5 Feb 2002

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below*.

☒ *Total of 2 forms are submitted.

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PTO/SB/81 (10-00)

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**POWER OF ATTORNEY OR
AUTHORIZATION OF AGENT**

Application Number	09/802,755
Filing Date	March 9, 2001
First Named Inventor	Darst et al.
Group Art Unit	1641
Examiner Name	
Attorney Docket Number	IPT-012.01 (formerly 2555-1-001)

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I hereby appoint:

☒ Practitioners at Customer Number

25181

OR

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Name	Registration Number

as my/our attorney(s) or agent(s) to prosecute the application identified above, and to transact all business in the Patent and Trademark Office connected therewith.

Please change the correspondence address for the above-identified application to:

☒ The above-mentioned Customer Number.

OR

☐ Firm or
Individual Name

Address

Address

City

State

ZIP

Country

Telephone

Fax

I am the:

☐ Applicant.

☒ Assignee of record of the entire interest. See 37 CFR 3.71.

☐ Assignee of record of an undivided partial interest. See 37 CFR 3.71.

Certificate under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96).

SIGNATURE of Applicant or Assignee of Record

Name

For The Rockefeller University: KATHLEEN A. DENIS, Ph.D

Signature

Kathleen A. Denis

DIRECTOR OF TECHNOLOGY TRANSFER

Date

5 Feb 2002

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below*.

☒ *Total of 2 forms are submitted.

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OCTOBER 01, 2001

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KLAUBER & JACKSON
DAVID A. JACKSON
411 HACKENSACK AVENUE, 4TH FLOOR
HACKENSACK, NEW JERSEY 07601



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RECORDATION DATE: 07/25/2001

REEL/FRAME: 012017/0941
NUMBER OF PAGES: 4

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:
DARST, SETH A.

DOC DATE: 07/13/2001

ASSIGNOR:
CAMPBELL, ELIZABETH

DOC DATE: 07/13/2001

ASSIGNEE:
ROCKEFELLER UNIVERSITY, THE
1230 YORK AVENUE
NEW YORK, NEW YORK 10021-6399

SERIAL NUMBER: 09802755
PATENT NUMBER:

FILING DATE: 03/09/2001
ISSUE DATE:

SEDLEY PYNE, EXAMINER
ASSIGNMENT DIVISION
OFFICE OF PUBLIC RECORDS

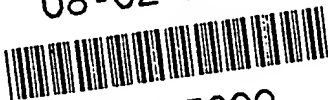


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Patent and Trademark Office

T

Attorney Docket No. 2555-1-001

To the Assistant Commissioner 1

record the attached original documents or copy thereof.

1. Name of conveying party(ies):

Seth A. Darst and Elizabeth Campbell

Additional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

3. Nature of conveyance:

☒ Assignment

☐ Merger

☐ Security Agreement

☐ Change of Name

Other: _____

Execution Date: July 13, 2001 (respectively)

2. Name and address of receiving party(ies):

Name: The Rockefeller University

Address: 1230 York Avenue

New York, NY 10021-6399

Additional name(s) & address(es) attached? ☐ Yes ☒ No

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4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is:

A. Patent Application No.(s)

09/802,755

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: David A. Jackson

Address: KLAUBER & JACKSON

411 Hackensack Avenue, 4th Floor

Hackensack, New Jersey 07601

6. Total number of applications and patents involved: 1

7. Total fee (37 CFR 3.41): \$40.00

☒ Enclosed

☐ Authorized to be charged to deposit account, if necessary -
for overages or underpayments only

8. Deposit account number:

11-1153

(Attach duplicate copy of this page if paying by deposit account)

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9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Michael D. Davis, Reg. No. 39,161
Name of Person Signing

Michael D. Davis
Signature

7/23/01
Date

Total number of pages including cover sheet, attachments, and document: 4

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Attorney Docket No.: 2555-1-001

ASSIGNMENT

WHEREAS, WE,

Seth A. Darst, a citizen of the United States, residing at
500 East 63rd Street, Apt. 16J
New York, New York 10021; and

Elizabeth Campbell, a citizen of the United States, residing at
500 East 63rd Street, Apt. 16J
New York, New York 10021;

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have invented certain new and useful improvements in

**A CRYSTAL OF BACTERIAL CORE RNA POLYMERASE WITH RIFAMPICIN
AND METHODS OF USE THEREOF**

for which we have filed an Application for Letters Patent in the United States on March 9,
2001, and was accorded U.S. Serial No. 09/802,755; and

WHEREAS,

The Rockefeller University,
an education corporation organized and existing under
the laws of the State of New York,
with office at 1230 York Avenue, New York, New York 10021-6399,

ASSIGNEE, is desirous of obtaining the entire right, title and interest in, to and under the
said improvements and the said application;

NOW, THEREFORE, for other good and valuable consideration, the receipt of which
is hereby acknowledged, we the said

Seth A. Darst and Elizabeth A. Campbell

have sold, assigned, transferred and set over, and by these presents do hereby sell, assign,
transfer and set over, to the said

The Rockefeller University,

its successors, legal representatives and assigns, the entire right, title and interest in, to and
under the said improvements, and the said application and all divisions, renewals, and
continuations thereof, and all Letters Patent of the United States which may be granted
thereon and all reissues and extensions thereof, and all applications for Letters Patent which
may hereafter be filed for said improvements in any country or countries foreign to the
United States, including the right to claim priority under the terms of any appropriate
International Convention based upon said application for Letters Patent of the United States,
and all Letters Patent which may be granted from said improvements in any country or
countries foreign to the United States and extensions, renewals and reissues thereof; and we
hereby authorize and request the Commissioner of Patent and Trademarks of the United

Attorney Docket No.: 2555-1-001

States and any official of any country or countries foreign to the United States, whose duty is to issue patents on applications as aforesaid, to issue all Letters Patent for said improvements to the said

The Rockefeller University,

its successors, legal representatives and assigns, in accordance with the terms of this instrument.

AND WE HEREBY covenant that we have full right to convey the interest herein assigned in the manner hereinabove set forth, and that we have not executed, and will not execute, any agreement in conflict herewith.

AND WE HEREBY further covenant and agree that we will communicate to the said

The Rockefeller University,

its successors, legal representatives and assigns, any fact known to us respecting said improvements, and testify in any legal proceeding, sign all lawful papers, execute all divisions, continuing and reissue applications, make all rightful oaths and generally do everything possible to aid the said

The Rockefeller University,

its successors, legal representatives and assigns, to obtain and enforce proper Patent Protection for said improvements in the United States.

IN TESTIMONY WHEREOF, we hereunto set our hand and seal the day and year set opposite our signatures.

Attorney Docket No.: 2555-1-001

Date 7/13/, 2001

Seth A. Darst L.S.
Seth A. Darst

State of NY :
County of NY : ss.

Before me this 13 day of July 2001, personally appeared Seth A. Darst, to me personally known to be the person who is described in and who executed the above instrument, and acknowledged to me that he/she executed the same of his/her own free will for the purposes therein set forth.

TERESA L. SOLOMON
Notary Public, State of New York
No. 31-4989836
Qualified in New York County
Commission Expires Dec. 16, 2001

Teresa Solomon
NOTARY PUBLIC

(Affix Seal Here)

Date 7/13, 2001

Elizabeth Campbell L.S.
Elizabeth Campbell

State of NY :
County of NY : ss.

Before me this 13 day of July 2001, personally appeared Elizabeth Campbell, to me personally known to be the person who is described in and who executed the above instrument, and acknowledged to me that he/she executed the same of his/her own free will for the purposes therein set forth.

Teresa Solomon
NOTARY PUBLIC

(Affix Seal Here)

TERESA L. SOLOMON
Notary Public, State of New York
No. 31-4989836
Qualified in New York County
Commission Expires Dec. 16, 2001